Weatherization Assistance Program Overview

Jake McAlpine & Jodi Bellefeuille

July 19, 2016

Today's Agenda

- Introductions
- Structure of WAP network
- Statutory authority & funding
- Lunch
- Policy Manual review
- Roles & responsibilities
- Best practices & feedback

Today's Agenda

- Introductions
  - MN WAP team
  - Group introductions

Today's Agenda

- Structure of WAP network
  - Federal
  - State
  - Service Providers

Today's Agenda

- Statutory authority & funding
  - Flow of guidance documents
  - Current & historic funding
  - Funding breakdown by SP

Today's Agenda

- Lunch
  - Protein
  - Carbohydrates
  - Minerals
  - Vitamins

Today's Agenda

- Policy Manual review by section
  - Purpose
  - Description
  - Highlights
  - Who needs to know this?

Today's Agenda

- Roles & responsibilities
  - How do certain policies impact different roles within you organization?

Today's Agenda

- Best practices & feedback
  - Individual time to reflect
  - Small group sharing
  - Large group discussion

MN State WAP Team

- Mike Rothman, Commissioner
- Bill Grant, Deputy Commissioner
- Michelle Gransee, SEO Manager
- Jake McAlpine, WAP Coordinator
- Jodi Bellefeuille, Program Administrator

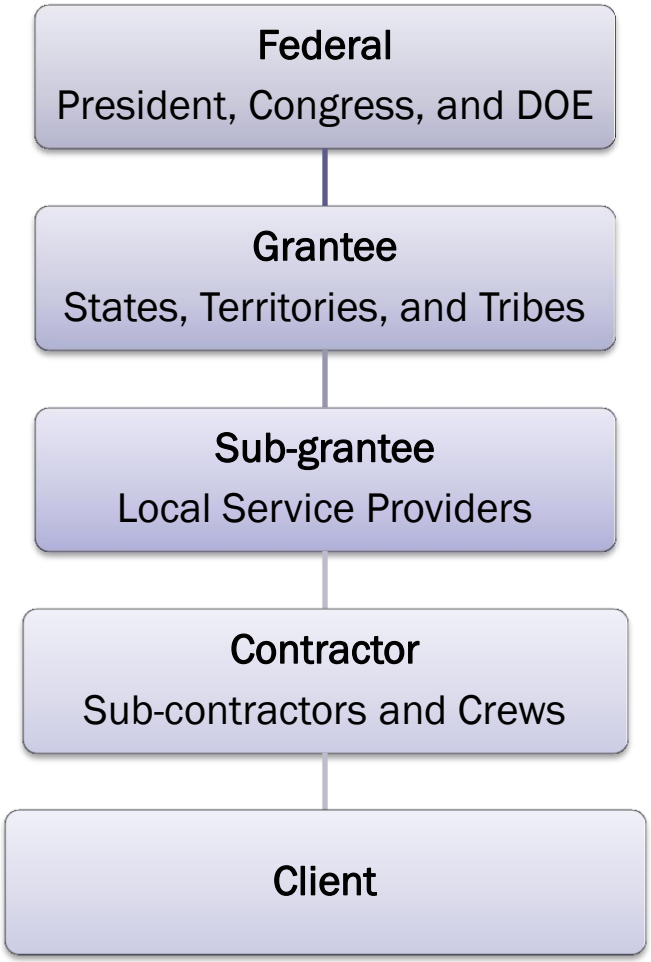
MN State WAP Team

- Dean Tran, Field Monitor
- Ivan Karnes, Field Monitor
- Bill Dixon, Field Monitor
- Brian Swanson, Administrative Monitor
- Ben Tucker, Training & Technical Assistance
- Jana Pearson, Fiscal Management
- Steve Loomis, Data/WA Support

Introductions

- Name
- Organization
- What is your title?

WAP Structure



WAP Structure

Federal
President, Congress, and DOE

Grantee
50 States, 6 Territories, and 3 Tribes

Sub-grantee
Local Service Providers

Contractor
Sub-contractors and Crews

Client

WAP Structure

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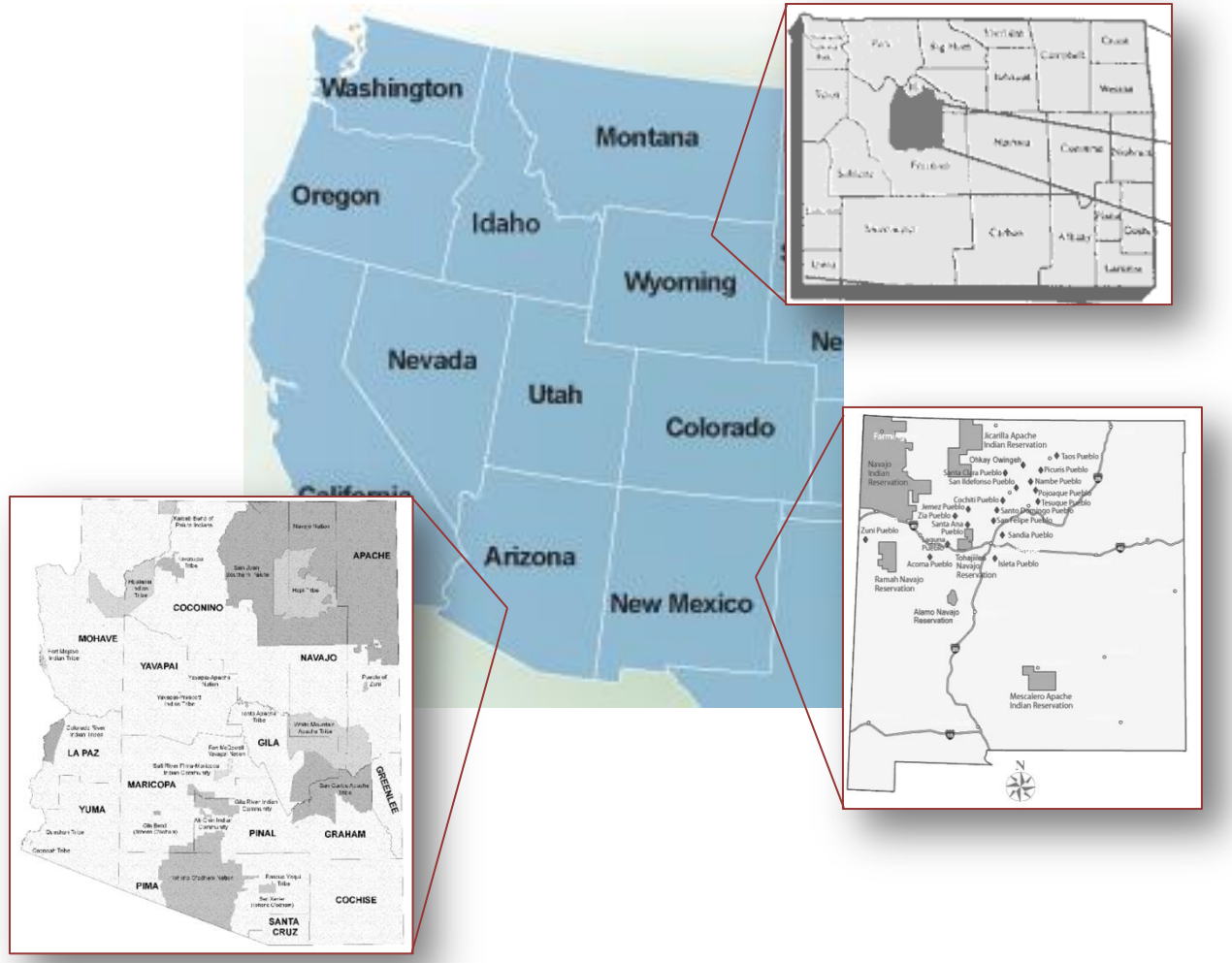


WAP Structure

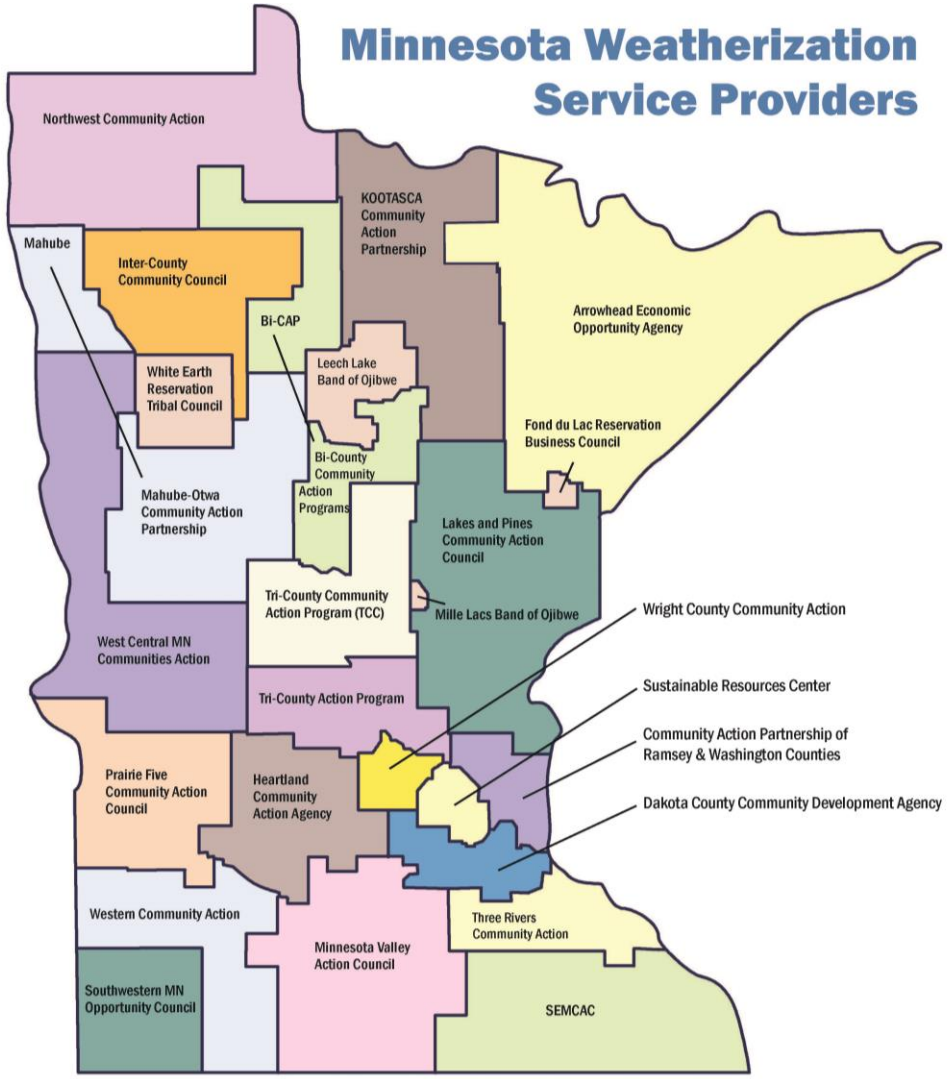
Federal
President, Congress, and DOE

Grantee
50 States, 6 Territories, and 3 Tribes

Sub-grantee
25 MN Service Providers

Contractor
Sub-contractors and Crews

Client



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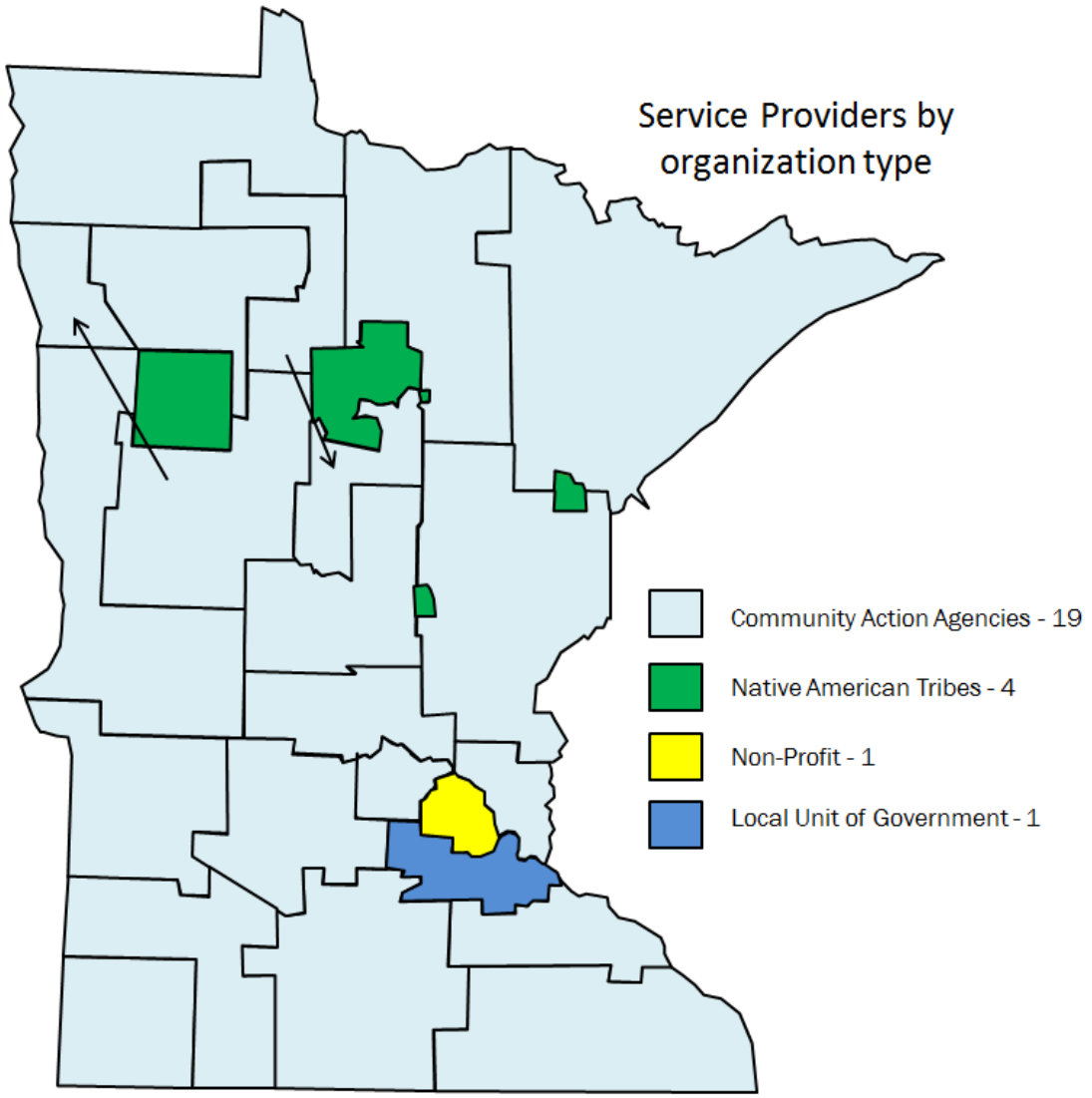

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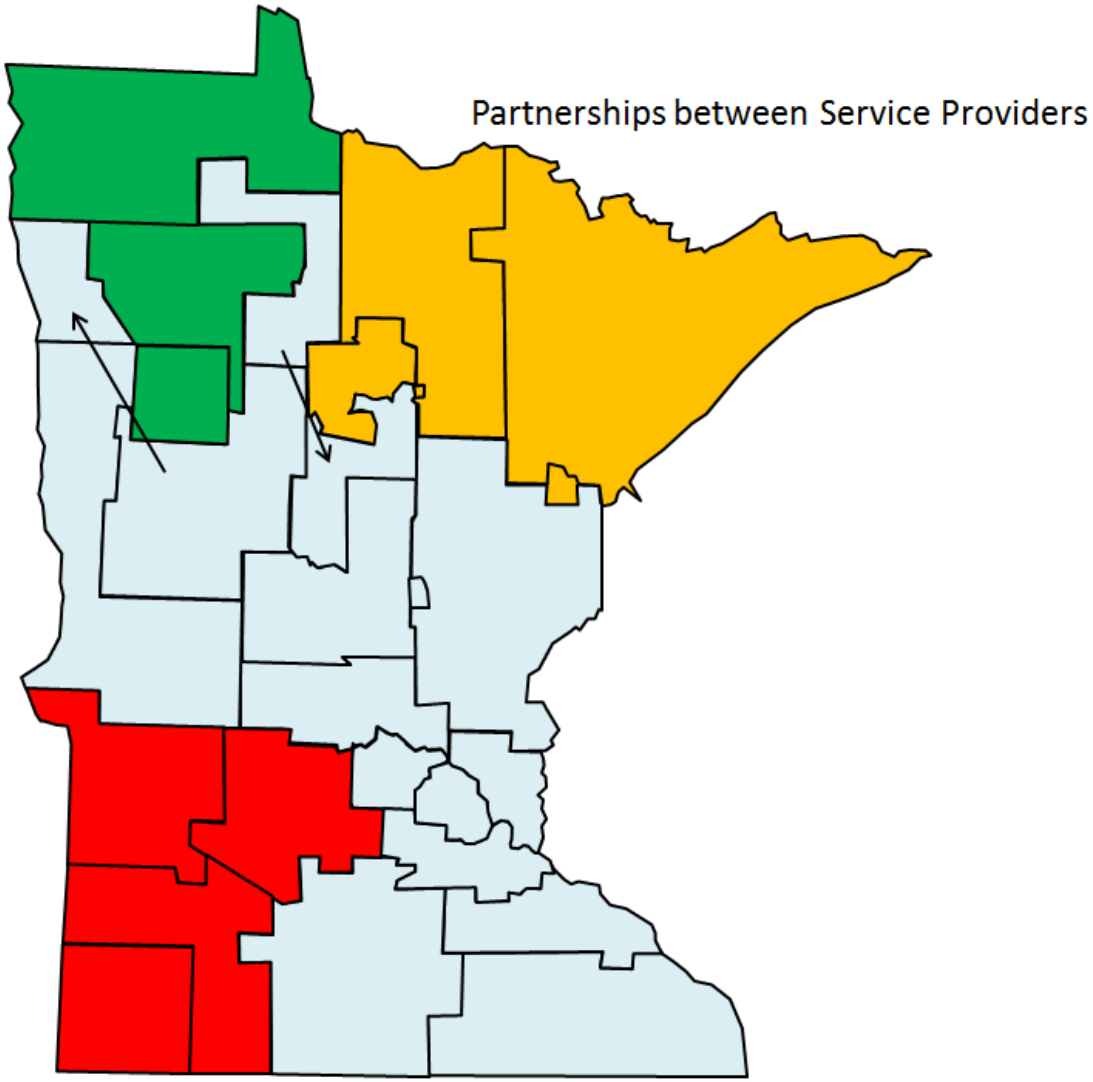

WAP Structure

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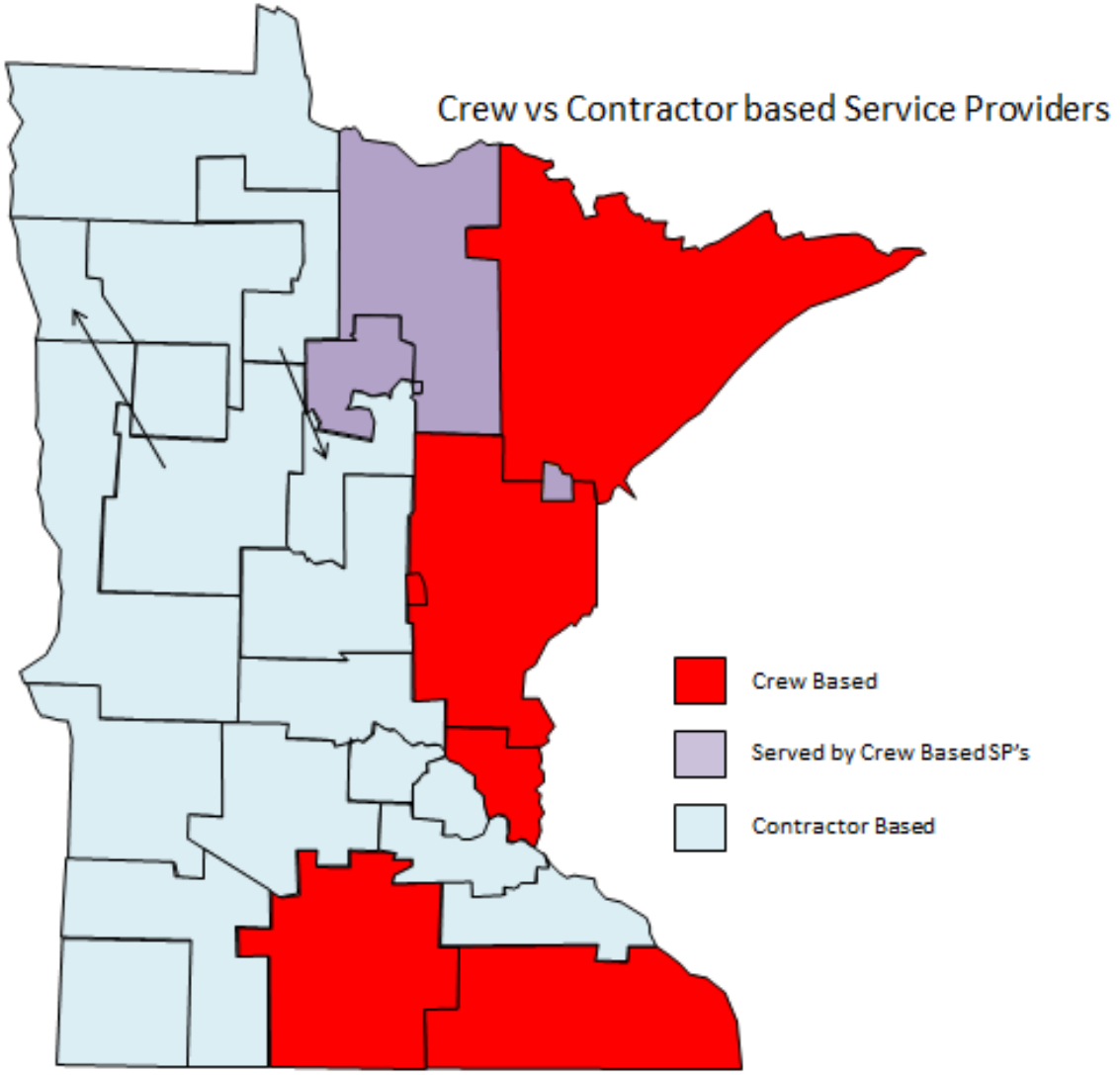
Sub-contractors and Crews

Client



WAP Structure

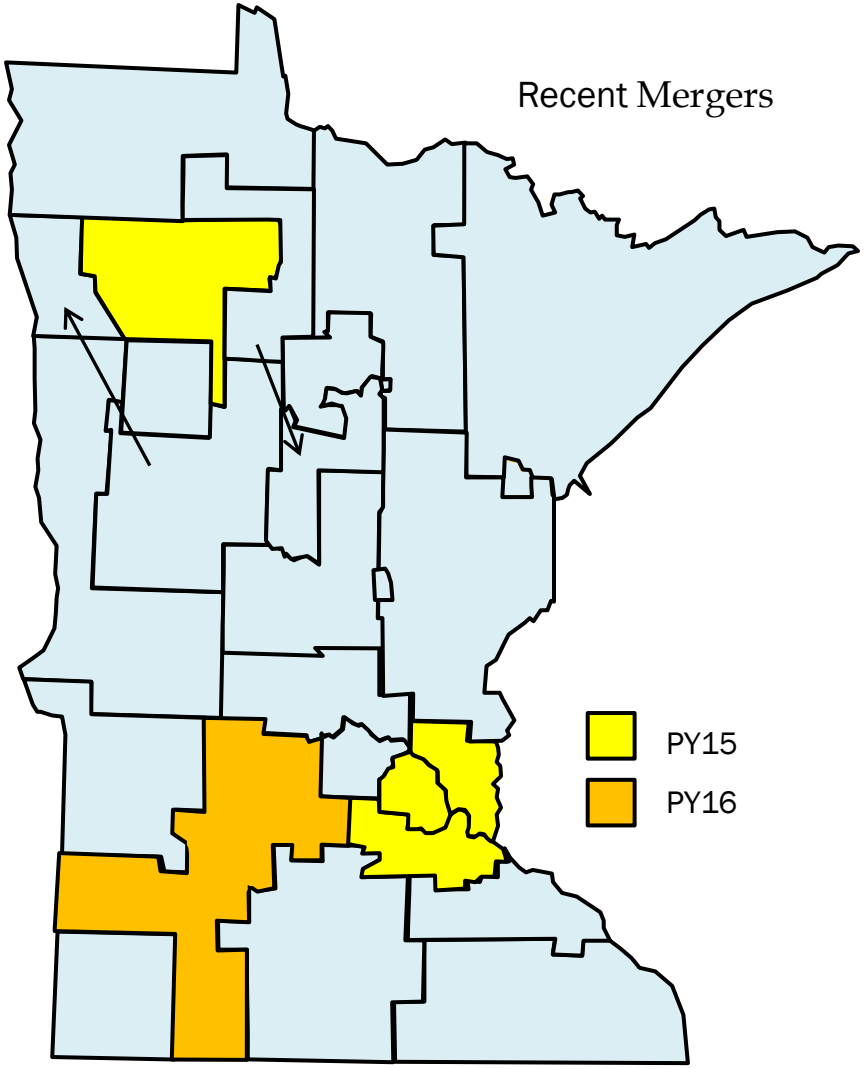
Federal
President, Congress, and DOE

Grantee
50 States, 6 Territories, and 3 Tribes

Sub-grantee
24 MN Service Providers

Contractor
Sub-contractors and Crews

Client



WAP Structure

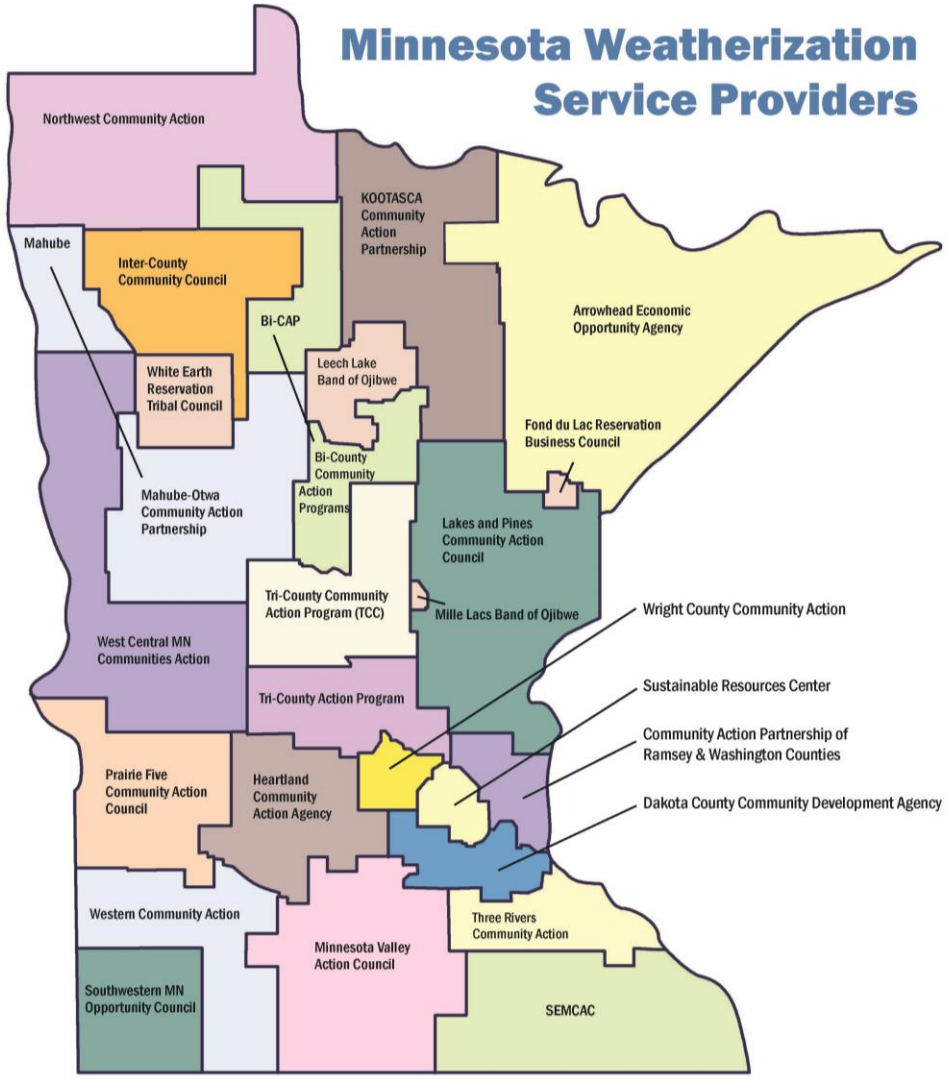
Federal
President, Congress, and DOE

Grantee
50 States, 5 Territories, and 3 Tribes

Sub-grantee
MN Service Providers

Contractor
Sub-contractors and Crews

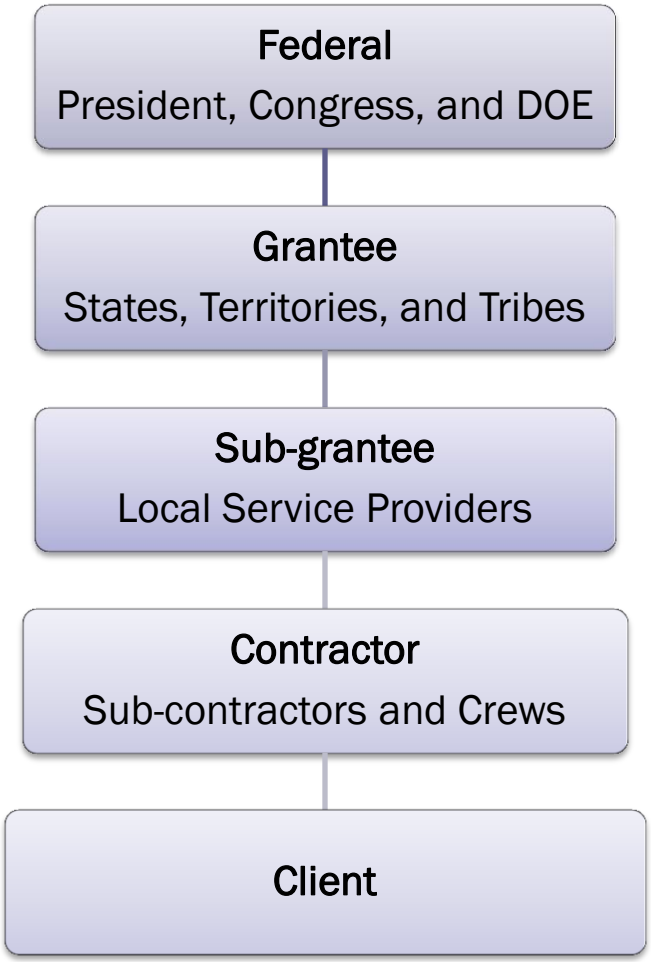
Client
931 DOE houses served (PY15)



WAP Structure

- Questions?
- Take a few minutes to reflect
- Discussion

Statutory Authority



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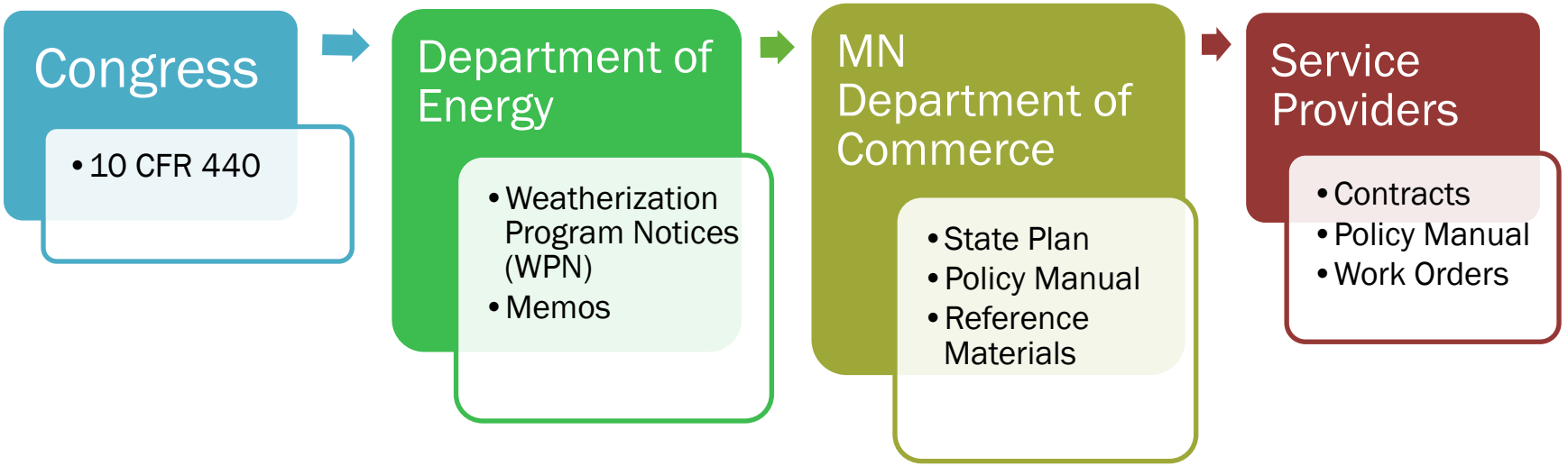

Statutory Authority

Electronic Code of Federal Regulations
e-CFR™

View past updates to the e-CFR.
Click here to learn more.

e-CFR data is current as of July 8, 2016

Title 10 → Chapter II → Subchapter D → Part 440

TITLE 10—Energy

CHAPTER II—DEPARTMENT OF ENERGY

SUBCHAPTER D—ENERGY CONSERVATION

PART 440—WEATHERIZATION ASSISTANCE FOR LOW-INCOME PERSONS

§440.1	Purpose and scope.
§440.2	Administration of grants.
§440.3	Definitions.
§440.10	Allocation of funds.

Congress

- 10 CFR 440

Examples
440.16
440.18

www.ecfr.gov

Statutory Authority

Department of Energy

- Weatherization Program Notices (WPN)
- Memos

Examples
16.1 attach 2
16.2 funding
15.4

WAPTAC
Weatherization Assistance Program Technical Assistance Center

RULES & GUIDANCE

WAP Basics | Rules & Guidance | Technical Tools | Public Information | Best Practices | Training Resources | Wx Plus Health | Contacts

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Weatherization Program Guidance 2016

Below are links to each year's Program Guidance from the Department of Energy for the Weatherization Assistance Program.

2016 | 2015-2011 | 2010-2006 | 2005-2001 | 2000-1996 | 1994-1993
Other Guidance Documents

2016 ^

WPN 16-7 Approved Weatherization Materials With Specifications
Effective: June 3, 2016- The U.S. Department of Energy (DOE) is streamlining and consolidating active Weatherization Assistance Program (WAP) Guidance documents in order ease the burden on Grantees in implementing the WAP.

WAP Memorandum 016: Multifamily Housing- HUD Lists
Effective: May 31, 2016 - To transmit updated information to the WAP network on current buildings identified by the U.S. Department of Housing and Urban Development (HUD)

WPN 16-6 WEATHERIZATION OF RENTAL UNITS. FAQs
Effective: May 5, 2016 - Applicable to single family and multifamily dwellings.

WPN 16-5 MULTIFAMILY WEATHERIZATION. FAQs
Effective: May 5, 2016 - To provide Grantees with consolidated guidance on previously issued Weatherization Program Notices (WPNs) on weatherizing multifamily buildings in the Weatherization Assistance Program (WAP).

WPN 16-3 POVERTY INCOME GUIDELINES AND DEFINITION OF INCOME
Effective: February 10, 2016 - To provide Grantee guidance on Poverty Income Guidelines and Definition of Income.

WPN 16-2A PROGRAM YEAR 2016 GRANTEE ALLOCATIONS - REVISED
Effective: January 8, 2016 - To provide revised Grantee allocations for the preparation and submission of applications for funding of the Weatherization Assistance Program (WAP) for Program Year (PY) 2016.

www.waptac.org

Statutory Authority

MN Department of Commerce

- State Plan
- Policy Manual
- Reference Materials

Weatherization Assistance Providers

The Weatherization Assistance Program (WAP) is federally funded through the U.S. Department of Energy (DOE) and U.S. Department of Health and Human Services (HHS).

WAP enables income-qualified households to permanently reduce their energy bills by helping to make their homes more energy efficient while protecting the health and safety of family members. In Minnesota, WAP services are delivered by 25 Service Providers across the state (map).

QUESTIONS?

For questions about WAP policies and resources

Contact Weatherization

CONTENTS

Policy Manual
Training
Forms
WAP Wires

APPLYING FOR ASSISTANCE

Interested in applying for assistance? Learn how.

Program Update

Program Year 2016 DOE State Plan

The Minnesota Department of Commerce State Energy Office conducted a public hearing on April 13, 2016 on the PY16 U.S. Department of Energy Weatherization Assistance Program State Plan. Copies of the public comments and Commerce's responses may be obtained by emailing weatherization.commerce@state.mn.us or calling Caren Warner at 651-539-1803.

Minnesota's PY16 DOE WAP State Plan has been submitted and is pending DOE approval. Once finalized, the approved State Plan will be posted here and under Appendix A of the PY16 WAP Policy Manual.

Policy Manual | A | B | C | D | E | F

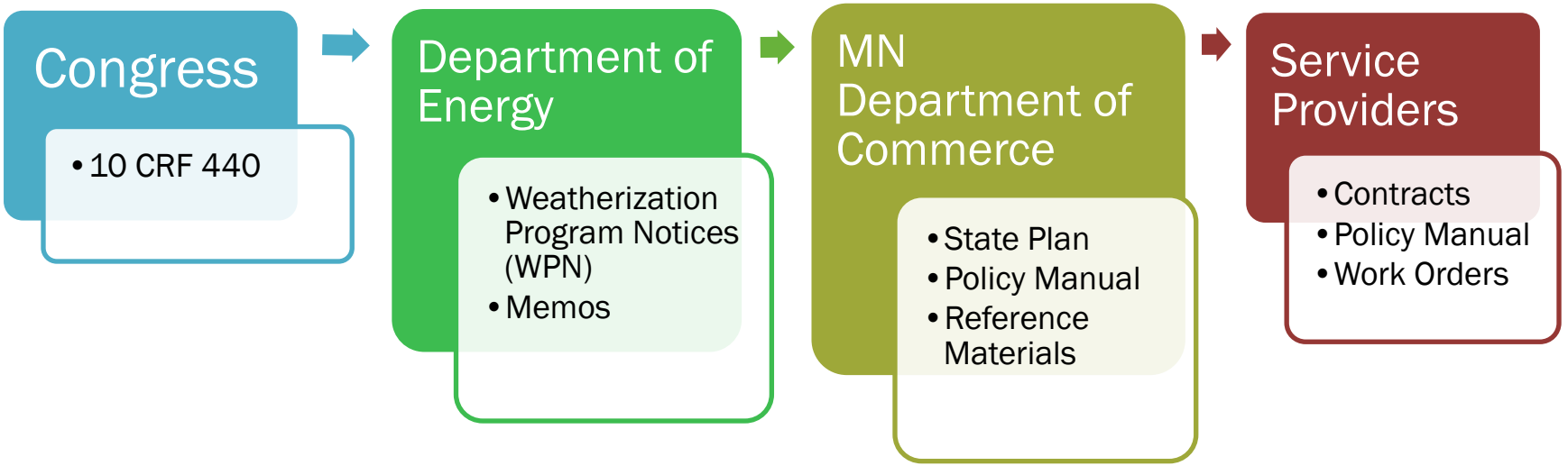
Policy Manual

WAP policies, procedures and technical requirements are detailed in the WAP Policy Manual and Appendices

Program Year 2015 Weatherization Policy Manual

www.mn.gov/commerce

Statutory Authority



Statutory Authority

- Questions?
- Take a few minutes to reflect
- Discussion

Funding Levels

PY 2016

DOE - Nationwide: $213,814,000

DOE - Minnesota: $9,157,907

1	New York	$18,794,102	8.8%
2	Michigan	$14,397,981	6.7%
3	Pennsylvania	$13,754,306	6.4%
4	Ohio	$12,670,127	5.9%
5	Illinois	$12,503,393	5.8%
6	Minnesota	$9,157,907	4.3%
7	Wisconsin	$8,147,306	3.8%
8	Indiana	$6,193,959	2.9%
9	Massachusetts	$6,058,804	2.8%
10	California	$5,857,131	2.7%

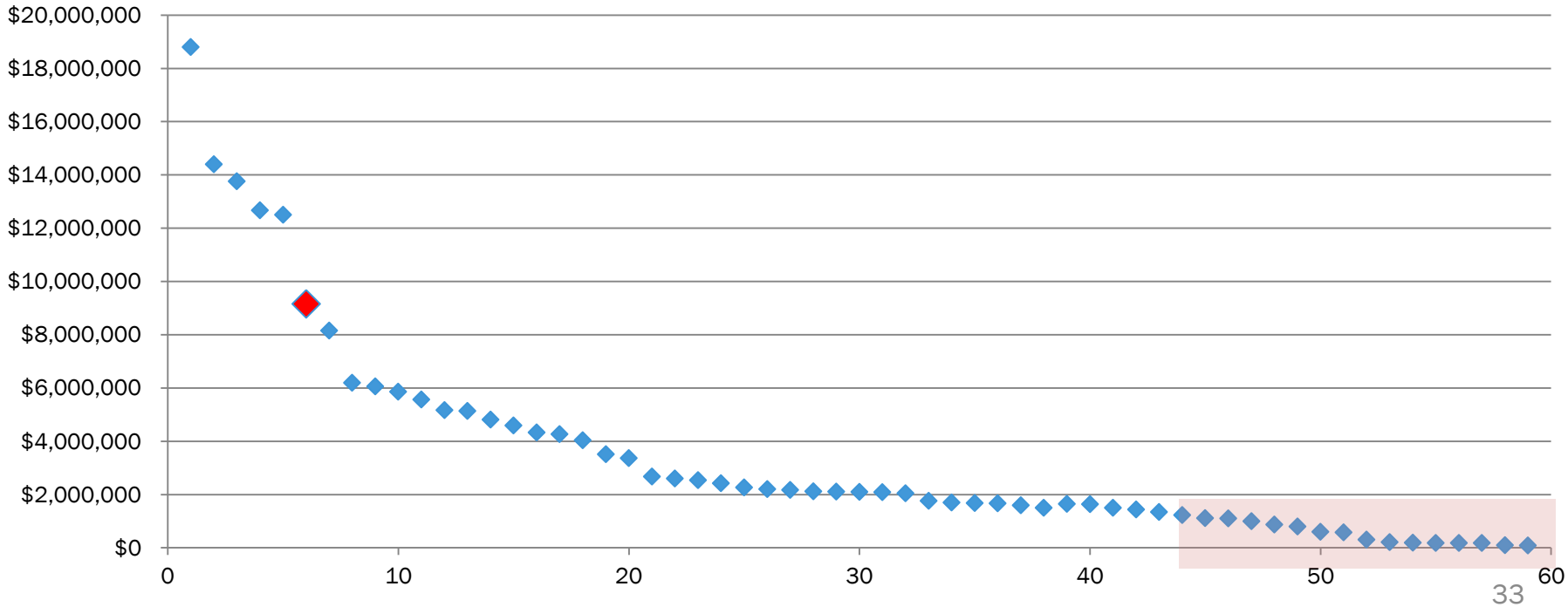
Funding Levels

PY 2016

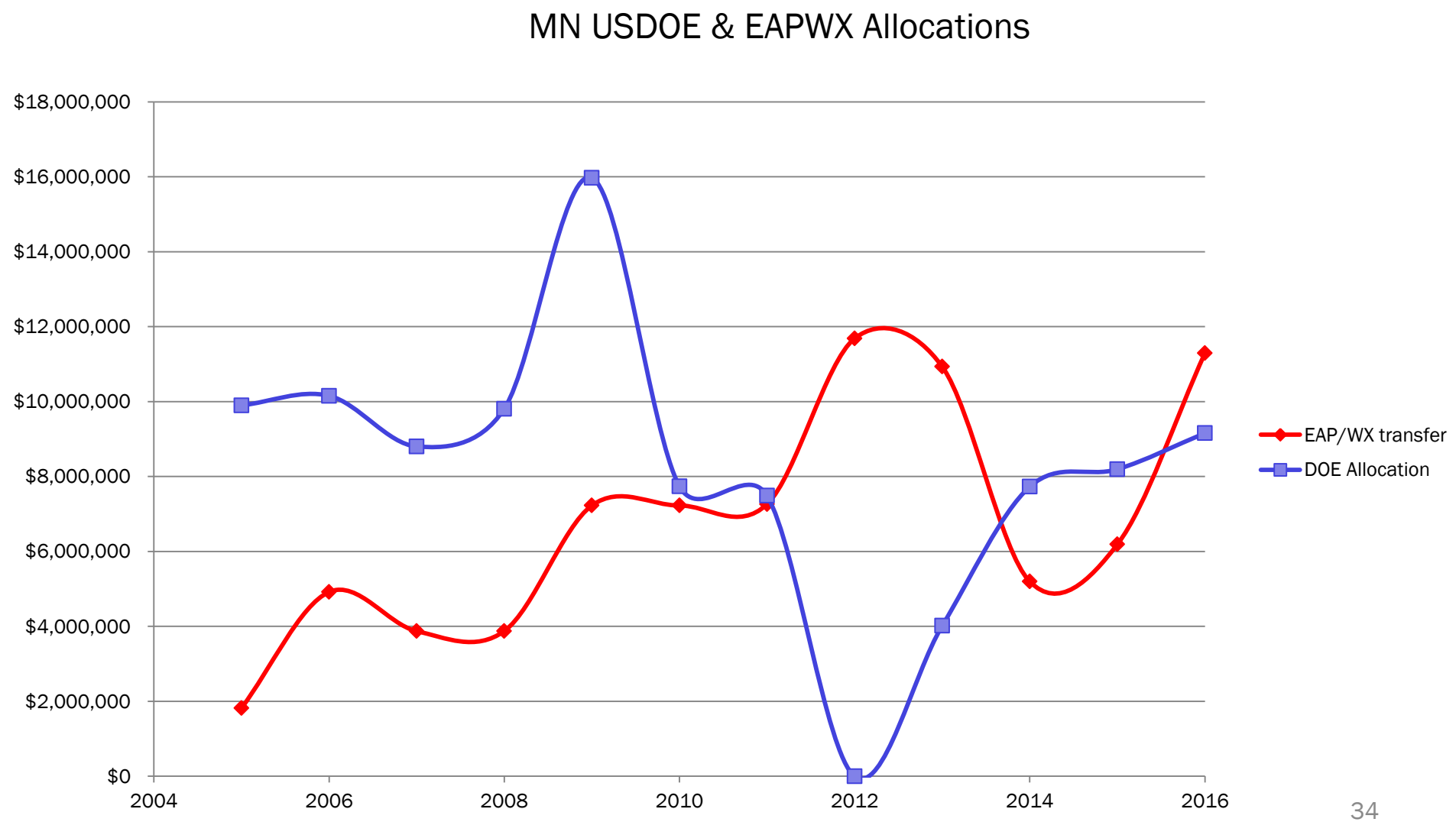
How Minnesota compared to other states:

-about half the size of New York (largest)

-larger then the bottom 16 Grantees combined



Funding Levels



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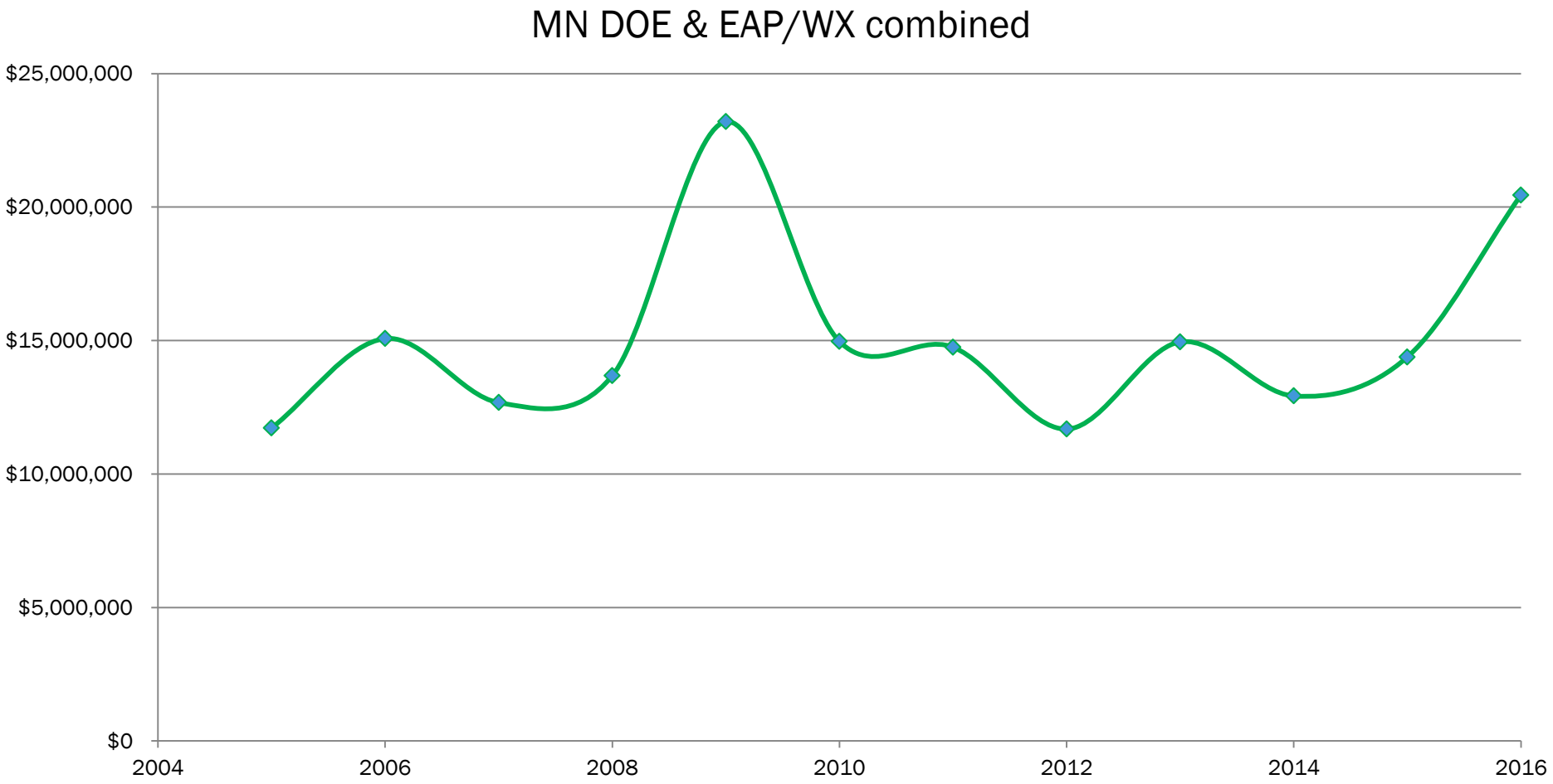

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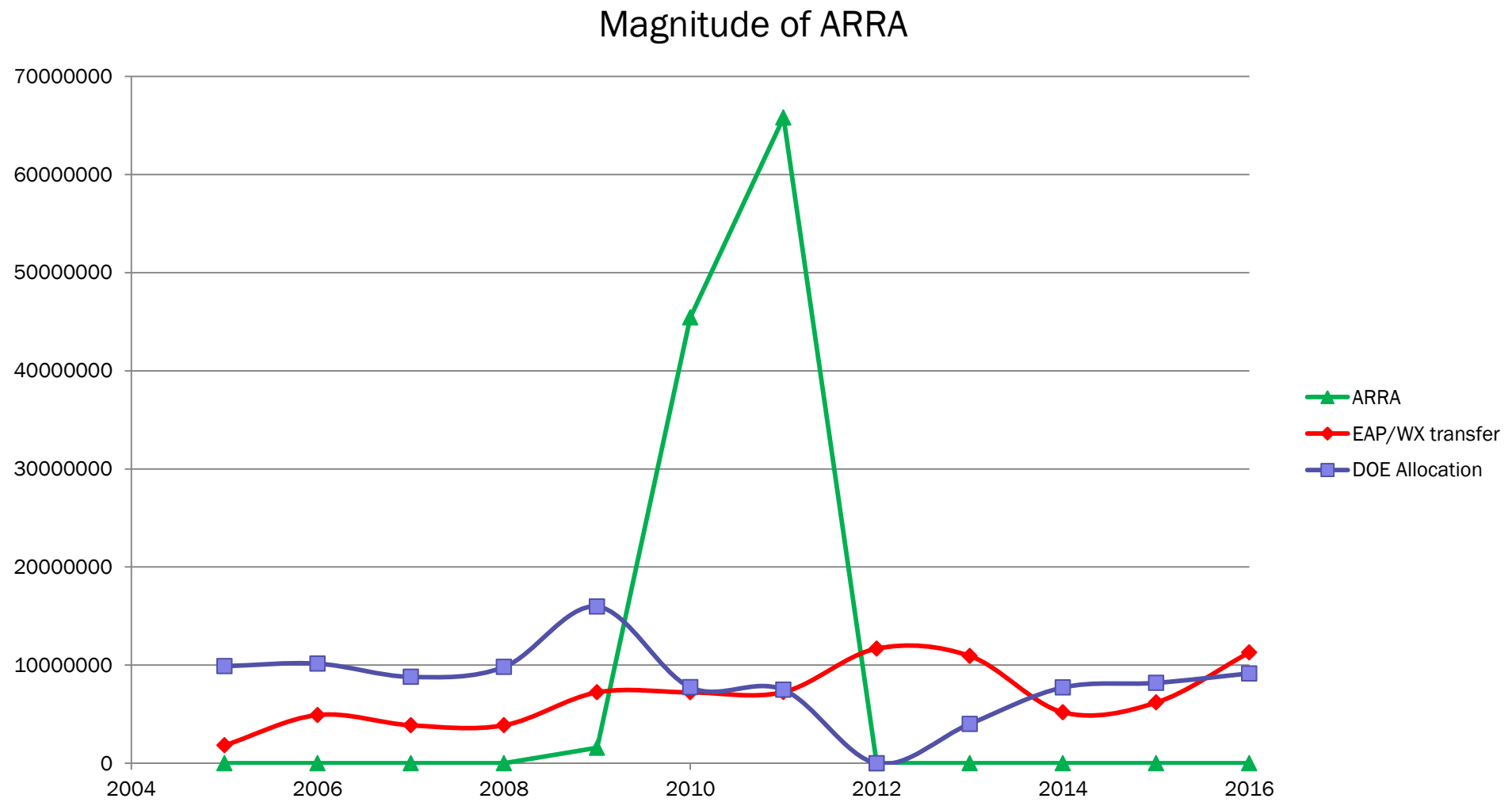
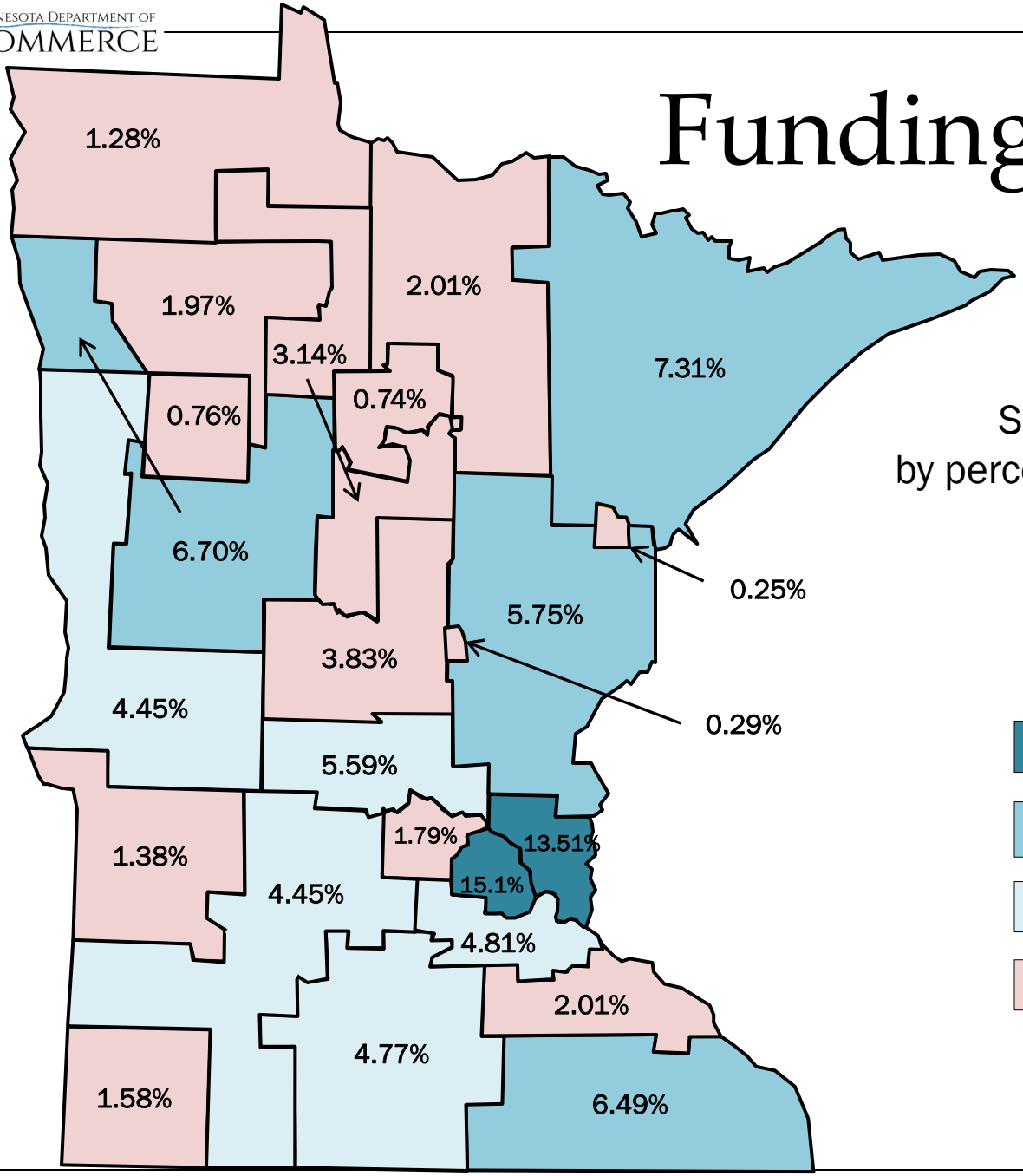


Minnesota Department of Commerce

Funding Levels



Service Provider Size
by percentage of State allocation

29%	1st quartile -2 agencies
26%	2nd quartile -4 agencies
24%	3rd quartile -5 agencies
21%	4th quartile -13 agencies

Funding Levels

- Questions?
- Take a few minutes to reflect
- Discussion

WAP Policy Manual

- Goals:
  - Identify where to find policies and related appendices
  - Provide an overview of the WAP policy manual and how each section relates to the WAP process
  - Share how your agencies implements policies
    - Small and large group discussion

WAP Policy Manual

- Section 1: Program Management
- Section 2: Household Eligibility
- Section 3: Dwelling Eligibility
- Section 4: Audit Events
- Section 5: Standalone Events
- Section 6: Fiscal Policy
- Section 7: Procurement
- Section 8: Monitoring

Policy Manual Orientation

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Policy Manual Orientation

- Appendices
  - Appendix A-F are incorporated into the policy manual
  - Documents detail procedural and technical guidelines
  - Changes can be made outside of PY and mid-PY updates
    - Ex: SWS aligned Field Guide, State Plans, Weatherization Assistant (WA) software guides

Policy – Appendix A

Appendix A | Appendix B | Appendix C | Appendix D | Appendix E | Appendix F

Appendix A, State Plans

The U.S. Department of Energy State Plan details how the Minnesota Department of Commerce will deliver the Weatherization Assistance Program throughout a given program year. This document guides how the U.S. Department of Energy holds Commerce accontable.

The EAPWX State Plan details how the LIHEAP Transfer (known as EAPWX) can be utilized in the Weatherization Assistance Program during a given funding cycle.

- PY15 DOE State Plan (.pdf)
- EAPWX A2105 State Plan (.pdf)
- EAPWX A2106 State Plan (.pdf)

Policy – Appendix B

Appendix A | Appendix B | Appendix C | Appendix D | Appendix E | Appendix F

Appendix B, Field Guides

Minnesota's recently revised Weatherization Field Guide is aligned to the U.S. Department of Energy's Standard Work Specifications. It combines the previous weatherization and mechanical system field guides into a single document.

- Weatherization Field Guide – SWS Aligned Edition
- Weatherization Field Guide – SWS Aligned Edition (.pdf)

Policy – Appendix C

Appendix A | Appendix B | Appendix C | Appendix D | Appendix E | Appendix F

Appendix C, Weatherization Assistant

This appendix includes guidance on how to model energy audits and document weatherization work using the WA software.

- Weatherization Assistant User's Manual - Version 8.9 (.pdf)
- Weatherization Assistant User's Manual – Addendum (.pdf)
- Allowable Measures Chart (Audit Event) (.pdf)
- Allowable Measures Chart (Standalone) (.pdf)
- eHeat to WA File Transfer (.pdf)
- EC Motor Procedure (.pdf)

Policy – Appendix D

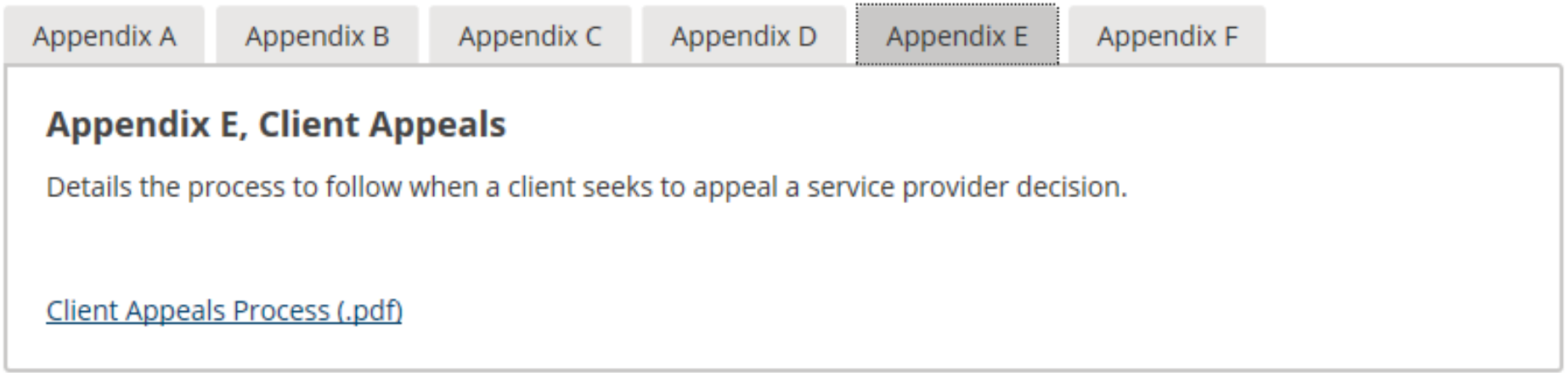
Appendix A | Appendix B | Appendix C | **Appendix D** | Appendix E | Appendix F

Appendix D, Diagnostic Tests

Required diagnostic tests for site visits and Quality Control Inspection for Audit and Stand-along events.

- Audit Event – Energy Audit Diagnostic Tests (.pdf)
- Audit Event – QCI Diagnostic Tests (.pdf)
- Standalone Event – Site Visit Diagnostic Tests (.pdf)
- Standalone Event – QCI Diagnostic Tests (.pdf)

Policy – Appendix E



Policy – Appendix F

Appendix A | Appendix B | Appendix C | Appendix D | Appendix E | Appendix F

Appendix F, Special Funding

Guidance on how special funding sources can be utilized within the Weatherization Assistance Program.

Renewable Energy Equipment Grant Program (REEGP)

Indoor Wood/Pellet Stove Checklist (.pdf)

Wood Stove Certification of Destruction Form (.pdf)

Outdoor Wood/Pellet Boiler Checklist (.pdf)

Final Inspection Agreement (.pdf)

Project Checklist (.pdf)

Workflow (.pdf)

Service Agreement (.pdf)

Solar Heat Inspection Checklist (.pdf)

Project Form (.pdf)

Documents Required for Project Approval Process (.pdf)

Policy Manual Orientation

Questions?

Policy Manual – Section 1

- Section 1 – Program Management
- Purpose:
  - General policies for the administration of WAP on a local level
  - Foundational requirements necessary to a successful and compliant program

Policy Manual – Section 1

- 1.1: Notification of staff changes
- 1.2: Reporting Requirements
- 1.3: Service Provider Production
  - Unit Average Definition
  - Production Planning
  - Unit Completions
  - Timely Service
- 1.4: Record Retention

Policy Manual – Section 1

- 1.5: Data Privacy
- 1.6: Client Appeals and Complaints
- 1.7: Code of Conduct
- 1.8: Repayment
- 1.9: Service Provider Liability Insurance
- 1.10: Assignment Agreements
- 1.11: Internal Controls

Section 1 Highlights

- 1.3: Service Provider Production
  - Program Year is July 1 – June 30
  - Requires a production planning and job tracking system
  - Unit goals (audit events)
    - Automatically calculated by DOE based on unit average
    - Calculated by local SPs for EAPWX, Propane, etc.
    - Commerce must be notified if unit and spending goals cannot be met

Section 1 Highlights

- 1.3: Service Provider Production
  - Complete jobs within one program year, some exceptions noted
  - Track job costs
  - Systems must ensure timely service
    - Track production
    - Identify gaps and resolve as possible
    - Give clear deadlines

Section 1 Highlights

- Unit Goals Cont'd
  - PY16 MN Averages (DOE funds, pending approval)
    - Unit Avg = $7,103
    - Health & Safety Avg = $1,058
      - DOE sets maximum unit average
      - Health & Safety up to 15% of statewide unit average
  - EAPWX Average (A2107/CO)
    - Unit Average = (refer to DOE)
    - Health & Safety Avg = $2,700

Section 1 Highlights

- Unit Goals Cont'd
  - What's included in the averages?
    - Unit Average
      - Direct Service (Energy Conservation and General Repair measures)
      - Program Support (salaries related with delivering WAP, but not direct project costs)
      - Equipment/vehicle purchases
    - Health & Safety Average
      - Direct Service (Health & Safety measures)
    - Not included: standalones, fiscal audits, liability insurance

Section 1 Highlights

- 1.5: Data Privacy
  - Ensure private data is kept safe
  - Do not share with a third party unless authorized/documented
  - Do not send private data via email unless secure/encrypted
    - Use Commerce FTP site as needed

Section 1 Highlights

- 1.6: Client Appeals and Complaints
  - Complaint vs. appealing a decision made by an agency
  - Set process in policy and Appendix E
  - Three levels:
    1. Service Provider
    2. Commerce WAP
    3. MN Office of Administrative Hearings
  - Importance of complete documentation

Policy Manual – Section 1

- Who needs to know?
  - Reporting Requirements: Fiscal staff, staff who upload WA data
  - Production planning: Coordinators, auditors/QCI, other staff who plan or track production
  - Privacy: Coordinators, any staff who handle private data
  - Appeals: Coordinators, auditors/QCI
  - Assignment Agreements: Coordinators, executive directors
  - Internal Controls: Everyone!

Section 1 – Small Group Discussion

- Who completes reports at your agency (FSRs, WA uploads, TTA)? Cross training?
- Production:
  - Who plans at the onset of each program year?
  - What data and factors are considered?
  - How is the status of each job tracked?
  - How are funds tracked for in-progress jobs?
- How are client complaints/appeals responded to?

Policy Manual – Section 1

Large Group

Discussion

Policy Manual – Section 2

- Section 2 – Eligibility & Service Requirements
- Purpose:
  - Policies for determining the eligibility of individual households for WAP

Policy Manual – Section 2

- 2.1: Household Eligibility
- 2.2: Income Documentation for HUD/USDA Properties
- 2.3: Priority for Providing Weatherization Services

Policy Manual – Section 2

- 2.1: Household Eligibility
  - Income limit
    - WAP = 200% of Federal Poverty Income Guidelines
      - Typically updated by DOE every February
    - EAP = 50% of State Median Income
      - Updated for EAP's Program Year (October)
  - MN is approved by DOE to use a combined WAP/EAP limit
    - If eligible under current EAP limits, but over 200%, still eligible for WAP

Policy Manual – Section 2

- 2.1: Household Eligibility
  - Income is calculated by local EAP agencies
  - Eligibility good through October 31
    - Ex: A HH who is eligible under EAP PY16 can be eligible for WAP through October 2017
      - Must be audited by Oct 31, 2017
      - If audited after Oct, must have a current/eligible app on file
  - Categorical eligibility:
    - If HH income includes SSI or TANF, automatically eligible

Policy Manual – Section 2

- 2.3: Priority for Providing Weatherization Services
  - Mandated by DOE in 10 CFR 440, applied to all WAP funds in MN
  - Priority must be given to HHs who meet one or more of the following:
    - Elderly HH member(s)
    - HH member(s) under the age of 19
    - Disabled HH members
    - High Energy Consumption

Policy Manual – Section 2

- 2.3: Priority for Providing Weatherization Services
  - SPs must follow written/internal policy
  - Additional criteria may be used only within the existing criteria
    - Ex: application date, coordination with other programs, very low income, emergency referral

Policy Manual - Section 2

- Who needs to know?
  - Income eligibility: Intake staff, admin support staff, any other staff who communicate with clients
  - Priority policy: Coordinators, staff involved with client intake/communication, leadership?

Section 2- Small Group Discussion

- Describe how your local EAP and WAP programs coordinate.
  - Division within agencies? Separate agencies?
- How are clients identified for WAP services?
  - Outreach methods? Cold calling?
  - Waitlist procedures?
  - Order of service?
- What is your agency's priority policy and how is it applied?

Policy Manual – Section 2

Large Group

Discussion

Policy Manual – Section 3

- Section 3 – Dwelling Eligibility
- Purpose:
  - Policies for determining the eligibility of dwellings/structures for WAP services, including special considerations

Policy Manual – Section 3

- 3.1: Proof of Ownership
- 3.2: Single-Family Owner-Occupied Dwellings
- 3.3: Rental Dwelling Requirements
  - 3.3.1: Single-Family Rental Reqs.
  - 3.3.2: Multifamily Rental Reqs.
    - 3.3.2.1: Multifamily Income Eligibility
    - 3.3.2.2: Income Eligibility for HUD/USDA Properties
    - 3.3.2.3: Maximum WAP Expenditures for 5+ Units
  - 3.3.3: EAPWX Transfer Funds

Policy Manual – Section 3

  - 3.3.4: Accrual of Benefits
  - 3.3.5: Landlord Agreement
  - 3.3.6: Landlord Contribution
- 3.4: Mixed-Use Buildings
- 3.5: Group Homes
- 3.6: Previously Weatherized Dwellings
- 3.7: State Historic Preservation Office Review
- 3.8: Deferrals

Section 3 - Highlights

- 3.3.2: Multifamily Rental Requirements
  - Must weatherize the entire building ("building as a system")
  - 2+ unit buildings: at least 66% of units must be eligible (50% for duplexes/fourplexes)
  - Maximum cost based on the number of eligible units
- 3.3.3: EAPWX funds only for units where HHs pay their own heating bills

Section 3 - Highlights

- 3.6: Previously Weatherized Dwellings
  - Cannot use DOE funds if WX'd after 9/30/94
  - Must maintain records and document in files
  - Non-DOE funds may be used
  - Pre-WX'd dwellings are lowest priority for services

Section 3 - Highlights

- 3.8: Deferrals
  - First determine HH eligibility, then determine building eligibility
  - Deferral reasons, examples:
    - Demolition is scheduled (must defer)
    - Structure makes WX impossible (must defer)
    - Dwelling is being remodeled (may defer)
    - Client refusal of work (may defer)
    - Severe structural or health & safety issues (may defer)
    - Uncooperative/abusive/threatening clients (may defer)

Section 3 - Highlights

- 3.8: Deferrals
  - Provide referrals to HHs who are deferred
  - Provide Deferral form to clients if deferred
  - Same agencies conduct “pre-audits” to address high deferral rates
  - Inform clients up front of possibilities

Policy Manual – Section 3

- Who needs to know?
  - Ownership/rental documentation: Intake staff, admin support staff, auditors/QCI
  - Rental requirements: Coordinators, intake staff, admin support staff, auditors/QCI, leadership?
  - SHPO, Pre-WX: Staff who manage or setup files, auditors/QCI
  - Deferrals: Coordinators, intake staff, admin support staff, auditors/QCI, leadership?

Section 3 – Small Group Discussion

- What type(s) of dwellings are commonly WX'd in your territory?
- What are some challenges/successes your agency has found WX'ing rental dwellings?
- What are common reasons for deferral in your area?
  - How are expectations communicated to HHs?
  - What resources/referrals are available?
  - Describe your pre-audit process (if applicable)

Policy Manual – Section 3

Large Group

Discussion

Policy Manual – Section 4

- Section 4 – Audit Events
- Purpose:
  - Policies for delivering WAP services
  - Covers all steps of the process from the energy audit to quality control inspection

Policy Manual – Section 4

- 4.1: Definition
- 4.2: Types of Measures
- 4.3: Household File Contents
- 4.4: Energy Audit
  - 4.4.1: Site Visit
  - 4.4.2: Measure Consideration
  - 4.4.3: Work Orders
  - 4.4.4: Manufactured Housing Requirements

Policy Manual – Section 4

- 4.5: Work Orders Issued to Contractors/Crews
- 4.6: Quality Control Inspection
- 4.7: Callback Event

Section 4 - Highlights

- 4.2 – Types of Measures
  - Energy Conservation Measure (ECM)
    - Measures that are determined cost effective
    - Saving to Investment (SIR) ratio must be 1.0 or greater per measure/total for job
      - Calculated by Weatherization Assistant (WA)
      - Energy savings divided by cost
      - All measures with SIR of 1.0 or more must be completed
    - Mechanical work must be completed prior to building shell work
    - Air sealing must be completed prior to insulation

Section 4 - Highlights

- 4.2 – Types of Measures Cont'd
  - Incidental Repair Measure
    - Measures deemed necessary for the effectiveness of one or more installed ECM
      - Direct association
    - Defined by DOE
    - Limited to measures on the Allowable Measures Chart (AMC)
    - $2,000 limit ($1,000 per fund used)
    - Included in total job SIR

Section 4 - Highlights

- 4.2 – Types of Measures Cont'd
  - Health & Safety Measures
    - Measures performed that are necessary to maintain the physical wellbeing of the occupants and/or WAP workers where:
      - The actions MUST be taken to effectively perform WAP, OR
      - The actions are necessary as a result of WAP

Section 4 - Highlights

– Health & Safety Measures Cont'd

- Defined by DOE
- Limited to measures on the Allowable Measures Chart (AMC)
- Client education must be provided and documented for all hazards identified by the auditor
- Not included in job SIR

Section 4 – Highlights

- 4.3: Household File Contents
  - Identifies required file documentation
    - Some are not always applicable
    - Some forms provided by Commerce
  - Files may be maintained electronically or as a hard copy
    - If electronic, must be able to provide access to monitors

Section 4 – Highlights

- 4.4: Energy Audit
  - Required for all WAP audit events, after HH and dwelling determined eligible
  - Must be performed by an energy auditor that has received the Building Performance Institute's Building Analyst OR Quality Control Inspector Certification
    - New auditors have one year to obtain BA or QCI cert.

Section 4 - Highlights

- 4.4: Energy Audit Cont'd
  - Audits include the following which must be documented:
    - Site Visit
      - Data Collection: photos, site map, mechanical systems data plate info, etc.
      - Diagnostic Tests: examples include - blower door, mechanical systems, carbon monoxide, zonal pressure
        - » Detailed in Appendix D
      - Client education: mechanical systems operation, observed health & safety hazards, WAP process
      - WA data entry: Detailed in Appendix C

Section 4 - Highlights

- 4.4: Energy Audit Cont'd
  - 4.4.2: Measure Consideration
    - All measures within policy must be completed
    - Refer to AMC in Appendix C for allowability
    - Certain measures have specific policies, ex:
      - Minimum criteria for heating replacements
      - Requirement to evaluate for an electronically commutated motor
      - Requirements to meet ASHRAE 62.2-2013 standards
      - Requirement to evaluate and perform duct sealing
      - Lead safe work practices

Section 4 - Highlights

- 4.4: Energy Audit Cont'd
  - 4.4.3: Work Orders
    - Created in WA, based on recommended measures
    - Requirement to document change orders when needed
- 4.5: Work Orders Issued to Contractors/Crews
  - Approved materials defined by 10 CFR 440
    - Exceptions approved through annual DOE State Plan, ex:
      - Refrigerators: like-for-like, Energy Star
      - LED lighting

Section 4 - Highlights

- 4.6: Quality Control Inspection:
  - DOE requirement starting July 1, 2015
  - Applied to all MN WAP funds
  - Certification required for anyone performing an inspection
  - Duties include:
    - Audit review
    - File review
    - Inspection (verification, testing, client education, etc.)
    - File closeout

Policy Manual – Section 4

- Who needs to know:
  - Measure types and allowability: Auditors/QCI, coordinators, intake staff, admin support staff
  - Household file contents: All staff who review or manage files
  - Testing requirements: Auditors/QCI, contractors

Section 4 - Discussion

- Describe your audit/inspector staffing structure
  - How many? Coordination with other agencies?
- How is WAP described to clients when scheduling audits?

Section 4 – Small Group Discussion

- Who manages individual projects?
  - Scheduling
  - Bidding work orders (if applicable)
  - Communicating with contractors
  - Tracking deadlines, job status
  - Other?

Section 4 – Small Group Discussion

- What staff member(s) at your agency review and maintain HH files?
  - Initial setup
  - Client eligibility
  - Bidding process (if applicable)
  - WA data entry, ongoing WA data management
  - Post-audit review?
  - Fiscal review
  - Closeout review
- Are files setup electronically, hard copy, or mix of both?

Section 4 – Small Group Discussion

- Describe how your agency coordinates WAP and CIP funds (if applicable)
  - Challenges and best practices?
- Describe the types(s) of client education provided by auditors/inspectors
  - Outside resources shared with clients?
  - Best practices and tips?

Policy Manual – Section 4

Large Group

Discussion

Policy Manual – Section 5

- Section 5: Standalone Events
  - Purpose:
    - Policies for delivering standalone event services that are allowed with EAPWX and Propane funds

Policy Manual – Section 5

- 5.1: Definition
- 5.2: Standalone Events – Health & Safety Measure Types
- 5.3: Household File Contents
- 5.4: Site Visit
- 5.5: Work Order
- 5.6: Contractor Requirements
- 5.7: Quality Control Inspection

Section 5 - Highlights

- 5.1: Definition
  - Heating systems and water heaters only
  - Two types:
    - Emergency Standalones: no-heat or other life-threatening situation
      - Immediate action required
      - Can be used to address issues when unallowable for ERR or ERR out of funds
    - Non-Emergency Standalones: items on the standalone AMC that are allowable, and audit services can't be provided
      - Do not have to address, internal policy required

Section 5 - Highlights

- 5.3: Household File Contents
  - Some differences from audit event files
- 5.7: Quality Control Inspection
  - Must be inspected by a certified QCI

Policy Manual – Section 5

- Who needs to know?
  - Types of standalone events: Coordinators, intake staff, admin support staff, auditors/QCI, leadership?
  - Allowable measures: Coordinators, intake staff, admin support staff, auditors/QCI
  - File Contents: All staff who setup or manage files

Section 5 – Small Group Discussion

- Describe how your WAP coordinates with EAP for ERR/Standalone referrals
- What types of standalone work is common in your area?
- What are your written policies about non-emergency standalones or water heaters?
- How do your processes and files differ for standalone events?

Policy Manual – Section 5

Large Group

Discussion

Policy Manual – Section 6

- Section 6 – Fiscal Policy
  - Purpose:
    - Defines WAP funding sources
    - Details fiscal reporting requirements
    - Defines allowable costs for each fund/sub-fund

Policy Manual – Section 6

- 6.2: WAP Funds
  - Two federal sources
    - DOE, EAPWX
  - State Propane funds
  - Other?
- 6.8: Budget Revisions
  - Allocations communicated on NFA
    - Admin, TTA, Program
    - Cannot move between unless pre-approved
      - Only allowable to move Admin/TTA to Program

Section 6 - Highlights

- 6.9 – Allowable Expenditures
  - Fund categories
    - Admin: As allowed by federal financial guidance (2 CFR 200), for the general administration of WAP
    - Training & Technical Assistance (TTA): Funds used to maintain or increased the efficiency, quality and effectiveness of WAP
      - DOE only
      - Submit requests to Commerce if activity is questionable

Section 6 - Highlights

- Fund categories cont'd
  - Program: Split into two categories
    - Direct Service: Cost to WX a dwelling
      - » Aligned with WA
      - » Includes payments to contractors, crew labor
    - Program Support: Cost to deliver WAP but not included in project cost
      - » Energy audits, inspections, staff who work with individual projects
      - » Included in unit average
- 6.9.2: Allowable expenses by sub-category

Policy Manual – Section 6

- Who needs to know?
  - Everyone!

Section 6 – Small Group Discussion

- How do fiscal and program staff communicate about WAP within your agency?
  - What information is shared?
  - Who has access to eHEAT (fiscal) or other internal fiscal data?
    - How is the data used by various staff/roles?

Policy Manual – Section 6

Large Group

Discussion

Policy Manual – Section 7

- Section 7 – Procurement
- Purpose:
  - Policies for the procurement of vendors, services and equipment
  - Contractor eligibility requirements
  - Equipment purchase/disposition instructions

Policy Manual – Section 7

- 7.1: Competition
- 7.2: Cost and Price Analysis
- 7.3: Solicitation
- 7.4: Affirmative Action
- 7.5: Contractor Eligibility
- 7.6: Minimum Contract Reqs.
- 7.7: Contractor Performance
- 7.8: Set Price Lists

Policy Manual – Section 7

- 7.9: Procurement for Emergency Services
- 7.10: Property Standards
- 7.11: Vehicle and Equipment Purchases
- 7.12: Disposal of Property Acquired with WAP Funds

Section 7 - Highlights

- 7.1-7.4: Federal Procurement Standards
  - Transactions must be conducted to provide free and open competition
  - Documented cost and price analysis
  - Must advertise/recruit contractors through a Request for Proposal (RFP) or other documented means
  - Affirmative action in hiring contractors, services, etc.

Section 7 - Highlights

- 7.5 – Contractor Eligibility
  - SPs must verify and document that all contractors and crews meet applicable requirements, for example:
    - Licenses
    - Bonds
    - Insurance
    - EPA certifications
    - Background check (per internal policy)
    - Not debarred from received federal funds

Section 7 - Highlights

- 7.9 – Procurement for Emergency Services
  - May deviate from normal procedures, must be documented and considered reasonable
  - If temporary heat can be provided, follow normal procedures
- 7..11–7.12 – Property purchases and disposition
  - Federal approval required if purchase over $5,000
  - Federal approval required when selling/disposing of equipment still valued at $5,000 or more
  - Commerce approval always required if purchased for $5,000 or more

Policy Manual – Section 7

- Who needs to know?
  - Procurement standards: Any staff involved in bidding or set pricing, fiscal staff, coordinator
  - Contractor requirements: Auditors/QCI, coordinators, admin support staff, fiscal staff?
  - Property standards: Fiscal staff, coordinators, staff conducting inventory

Section 7 – Small Group Discussion

- How are contractors advertised for at your agency?
- Who tracks contractor eligibility documentation?
  - How is each item documented (web printout, fax from insurance companies, directly from contractor, etc.)?
- Who tracks inventory?

Policy Manual – Section 7

Large Group

Discussion

Policy Manual – Section 8

- Section 8: Service Provider Monitoring & Compliance
  - Purpose:
    - Defines the scope of Commerce's monitoring of SPs
    - Requirements of SPs for monitoring visits
    - Outlines various steps that can be taken when serious issues of non-compliance are identified

Section 8 - Highlights

- 8.1: Service Provider Monitoring
- 8.1.1: Service Provider Monitoring Reqs.
- 8.2: High Risk Subgrantee Designation
- 8.3: Corrective Action Plan
- 8.4: Non-Compliance Sanctions
- 8.5: Contract Termination

Section 8 - Highlights

- 8.1 – Service Provider Monitoring
  - Federal requirements
  - Types of monitoring
    - Field visits
      - 5% of completed dwelling monitored statewide per program year, per fund
      - Conducted by a QCI certified field monitor
    - Administrative visits
      - Once per grant cycle (at least once every 3 years)
      - Schedule based on risk assessment, identified needs
    - Regular desk monitoring
    - Additional monitoring and TTA visits as needed

Section 8 - Highlights

- 8.1 – Service Provider Monitoring Reqs:
  - Documents must be submitted in advance as requested
  - Arrange and explain field visits to HHs in advance
  - Unrestricted access to WAP records
  - Access to necessary staff
  - Respond to monitoring reports by due date

Section 8 - Highlights

- 8.2-8.5: Steps are in place to respond to non-compliance, fraud, and abuse
  - High-Risk designation
    - Federally defined
    - Typically in conjunction with a Corrective Action Plan
  - Corrective Action Plans
    - Special requirements put in place
  - Non-Compliance Sanctions
    - -Steps taken whether Corrective Action Plan in place or not
  - Contract Termination
    - With or without notice, as needed if other steps are not adequate, or when fraud/abuse/etc. found

Policy Manual – Section 8

- Who needs to know?
  - Monitoring requirements: All WAP staff, leadership
  - Non-Compliance sanctions/etc.: Coordinator, leadership

Section 8 – Small Group Discussion

- Share with staff who have not been through a visit:
  - What tips do you have?
  - What do you wish you knew in advance of being monitored?
- How does your agency review and respond to monitoring reports?
  - Shared with board?
  - Reviewed by WAP staff team?
  - -Systems adjusted in response?

Policy Manual – Section 8

Large Group

Discussion

WAP Policy Manual

Additional Questions?

Commerce Role

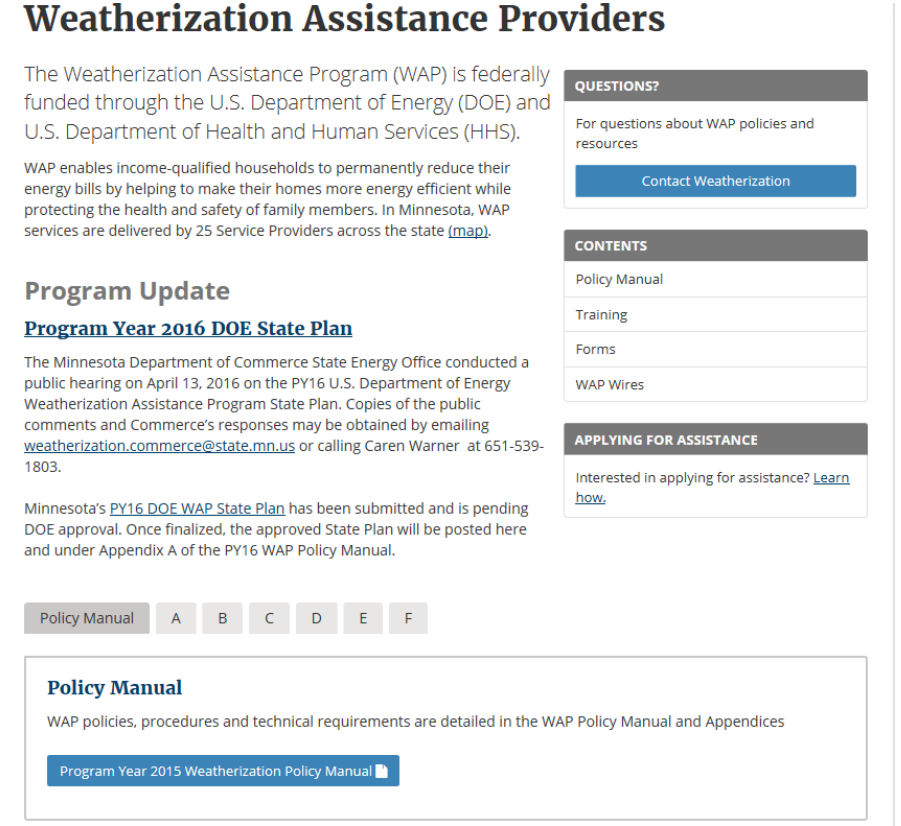
- Policy
  - State Plan, Policy Manual, Appendices
- Fiscal
  - Notice of Funds Available (NFA)
  - Financial Status Report (FSR)
- Monitoring
  - Administrative & Field
- Training & Technical Assistance (T&TA)
- Communication
  - Email, WAP Wire, Website

Commerce Role

- Communication
  - Email
    - Commerce strives for clear and consistent communication
    - Primary way to answer questions
    - Unified responses
    - weatherization.commerce@state.us.mn

Commerce Role

- Communication
  - WAP Wire
  - Website



Weatherization Assistance Providers

The Weatherization Assistance Program (WAP) is federally funded through the U.S. Department of Energy (DOE) and U.S. Department of Health and Human Services (HHS).

WAP enables income-qualified households to permanently reduce their energy bills by helping to make their homes more energy efficient while protecting the health and safety of family members. In Minnesota, WAP services are delivered by 25 Service Providers across the state (map).

Program Update

Program Year 2016 DOE State Plan

The Minnesota Department of Commerce State Energy Office conducted a public hearing on April 13, 2016 on the PY16 U.S. Department of Energy Weatherization Assistance Program State Plan. Copies of the public comments and Commerce's responses may be obtained by emailing weatherization.commerce@state.mn.us or calling Caren Warner at 651-539-1803.

Minnesota's PY16 DOE WAP State Plan has been submitted and is pending DOE approval. Once finalized, the approved State Plan will be posted here and under Appendix A of the PY16 WAP Policy Manual.

QUESTIONS?

For questions about WAP policies and resources

Contact Weatherization

CONTENTS

Policy Manual
Training
Forms
WAP Wires

APPLYING FOR ASSISTANCE

Interested in applying for assistance? Learn how.

Policy Manual | A | B | C | D | E | F

Policy Manual

WAP policies, procedures and technical requirements are detailed in the WAP Policy Manual and Appendices

Program Year 2015 Weatherization Policy Manual

www.mn.gov/commerce

Commerce Role

- Questions?
- Take a few minutes to reflect
- Discussion

WAP Overview

Thank you!

weatherization.commerce@state.mn.us